

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Docket Number</b> 04-6175		<b>Application Number</b> 10766,965	
				<b>Applicants</b> Thomas J. DALEY, et al.			
				<b>Filing Date</b> January 29, 2004		<b>Group Art Unit</b> 3684	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
		7,181,419	2/20/2007	Mesaros			
		7,213,000	5/1/2007	Gutierrez et al.			
		2004/0024684	2/5/2004	Montepeque			
		6,909,941	6/21/2005	Scott et al.			
		7,152,037	12/19/2006	Smith			
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initials	Cite No.	Foreign Document Number	Date	Country Code	Name of Patentee or Applicant of Cited Document	Sub-Class	Translation
		JP 2002-203112	7/19/2002	JP	Terajima		
		JP 2003-058733	2/28/2003	JP	Toyama et al.		
		JP 2003-058741	2/28/2003	JP	Kobayashi et al.		
		JP 2002-183446	6/28/2002	JP	Zumoto et al.		
		JP 2003345987	12/5/2003	JP	Inoue et al.		
<b>NON PATENT LITERATURE DOCUMENTS</b>							
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published					
		Australian Examiner's Report for Application No. 2006278382, dated July 9, 2009 (3 pages).					
		USPTO Notice of Allowance and Fees Due for Application No. 11/499833, dated March 12, 2010 (9 pages).					
		New AZX Session, Trader's v10 n130, October 1997, p. 4 (p.20 of EIC search).					
		The New Trading Landscape for Institutional Investors, Institutional Trades Can Be Costly If Investors Aren't Careful, Norman Harris, Institutional Investor 36, 5, S1 (7) May 2002 (p.21 of EIC search).					
		Scientific and Technical Information Center's Search Report EIC 3600, dated July 9, 2009 (88 pages).					
		International Preliminary Report on Patentability for PCT Application No. PCT/US05/03164, dated January 9, 2007 (4 pages).					
		Japanese Office Action with English translation for Application No. 2006-551589, dated April 20, 2010 (6 pages).					
		International Preliminary Report on Patentability for PCT Application No. PCT/US05/03166, dated July 31, 2006 (4 pages).					
Examiner Signature					Date Considered		

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Docket Number</b> 04-6175		<b>Application Number</b> 10/766,965		
				<b>Applicants</b> Thomas J. DALEY, et al.				
				<b>Filing Date</b> January 29, 2004		<b>Group Art Unit</b> 3684		
<b>U.S. PATENT DOCUMENTS</b>								
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Document Number</b>	<b>Date</b>	<b>Name of Patentee</b>		<b>Class</b>	<b>Sub-Class</b>	<b>Filing Date</b>
<b>FOREIGN PATENT DOCUMENTS</b>								
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Foreign Document Number</b>	<b>Date</b>	<b>Country Code</b>	<b>Name of Patentee or Applicant of Cited Document</b>	<b>Sub-Class</b>	<b>Translation</b>	
<b>NON PATENT LITERATURE DOCUMENTS</b>								
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Author, Title, date, pages, volume, publisher, city and/or country where published</b>						
		Japanese Office Action with English translation for Application No. 2006-551590, dated April 20, 2010 (6 pages).						
		International Preliminary Report on Patentability for PCT Application No. PCT/US05/03163, dated January 23, 2007 (5 pages).						
		Japanese Office Action with English translation for Application No. 2006-551588, dated April 27, 2010 (8 pages).						
		International Preliminary Report on Patentability for PCT Application No. PCT/US05/03168, dated February 13, 2007 (4 pages).						
		Japanese Office Action with English translation for Application No. 2006-551591, dated April 20, 2010 (6 pages).						
		International Preliminary Report on Patentability for PCT Application No. PCT/US05/03159, dated July 31, 2006 (6 pages).						
		Supplementary European Search Report for Application No. EP 05712558, dated December 5, 2008 (2 pages).						
		Japanese Office Action with English translation for Application No. 2006-551587, dated April 20, 2010 (6 pages).						
		International Preliminary Report on Patentability for PCT Application No. PCT/US06/30638, dated February 5, 2008 (5 pages).						
		International Preliminary Report on Patentability for PCT Application No. PCT/US06/30636, dated February 5, 2008 (5 pages).						
<b>Examiner Signature</b>						<b>Date Considered</b>		

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		<b>Docket Number</b> 04-6175		<b>Application Number</b> 10766,965	
		<b>Applicants</b> Thomas J. DALEY, et al.			
		<b>Filing Date</b> January 29, 2004		<b>Group Art Unit</b> 3684	

  

<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date

  

<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initials	Cite No.	Foreign Document Number	Date	Country Code	Name of Patentee or Applicant of Cited Document	Sub-Class	Translation

  

<b>NON PATENT LITERATURE DOCUMENTS</b>		
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published
		Donald L. Luskin, Index Options & Futures: The Complete Guide, Toyo Keizai, Inc., 9 August 1990, p. 32-35 [translation of an English book, originally published by John Wiley & Sons, Inc., 1987]
		EPO: "Mitteilung des Europäischen Patentamts vom 1. Oktober 2007 Ober Geschäftsmethoden =Notice from the European Patent Office dated 1 October 2007 concerning business methods =Communique de l'Office europeen des brevets,en date du 1er octobre 2007, concernant les methodes dans le domaine des activites"JOURNAL OFFICIEL DE L'OFFICE EUROPEEN DES BREVETS.OFFICIAL JOURNAL OF THE EUROPEAN PATENT OFFICE.AMTSBLATT DES EUROPÄISCHEN PATENTAMTS, OEB, MUNCHEN, DE, vol. 30, no. 11, 1 November 2007 (2007-11-01) , pages 592-593, XP0079055251SSN: 0170-9291 (2 pages).
		USPTO Supplemental Notice of Allowance and Fees Due for Application No. 11/499496, dated May 26, 2010 (4 pages).
		European Patent Office Communication and Official Action for Application No. 05712562.7, dated May 18, 2010 (6 pages).
		European Patent Office Communication and Official Action for Application No. 05712563.5, dated May 18, 2010 (6 pages).
		European Patent Office Communication and Official Action for Application No. 05712558.5, dated May 18, 2010 (6 pages).
		USPTO Notice of Allowance and Fees Due for Application No. 10/767588, June 25, 2010 (7 pages).
<b>Examiner Signature</b>		
		<b>Date Considered</b>